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*Admitted only in Maryland
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*Practice Limited to
Federal Agencies

January 9, 2004

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Art Unit To Be Assigned

Re: U.S. Continuation Patent Application
Application No. 10/697,257; Filed: October 31, 2003
For: **High Performance, Superscalar-Based Computer System With Out-Of-Order Instruction Execution**
Inventors: NGUYEN *et al.*
Our Ref: SP015.C16 (1397.028000G)

Sir:

Transmitted herewith for appropriate action are the following documents:

1. First Supplemental Information Disclosure Statement;
2. Form PTO-1449 listing **EIGHT (8)** documents (2 pages);
3. Copies of the **EIGHT (8)** cited documents as listed on Form PTO-1449; and
4. One (1) return postcard.

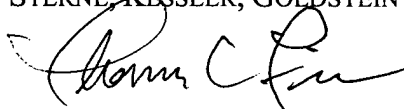
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents
January 9, 2004
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Thomas C. Fiala
Attorney for Applicants
Registration No. 43,610

TCF/mjg
Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

NGUYEN *et al.*

Appl. No.: 10/697,257

Filed: October 31, 2003

For: **High Performance, Superscalar-
Based Computer System With Out-
Of-Order Instruction Execution**

Confirmation No.: To Be Assigned

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: SP015.C16 (1397.028000G)

First Supplemental Information Disclosure Statement

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Third Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Information Disclosure Statement filed on October 31, 2003 in connection with the above-captioned application.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR **before the mailing date of a first Office Action on the merits** OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee.

Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

☒ 6. A concise explanation of the relevance of the non-English language document(s) appears below:

• **Documents AM5, AN5, AO5, and AP5 are Japanese counterpart applications of the present application. Partial translations have been provided.**

☒ 7. Copies of the documents are submitted herewith.

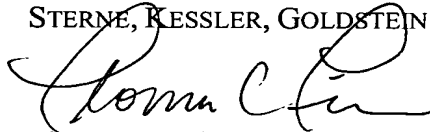
☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO 1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Thomas C. Fiala
Attorney for Applicants
Registration No. 43,610

Date: January 9, 2004

1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO. SP015.C16
(1397.028000G)

APPLICATION NO.: 10/697,257

FIRST NAMED INVENTOR: NGUYEN et al.

FILING DATE: October 31, 2003

ART UNIT: To Be Assigned

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|---------------------|--------------------|------|------|-------|-----------|-------------|
| | AA28 | | | | | |
| | AB28 | | | | | |
| | AC28 | | | | | |
| | AD28 | | | | | |
| | AE28 | | | | | |
| | AF28 | | | | | |
| | AG28 | | | | | |
| | AH28 | | | | | |
| | AI28 | | | | | |
| | AJ28 | | | | | |
| | AK28 | | | | | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|--------------------|--------------|------------|-------|-----------|-------------|
| | AL5 | | | | | Yes No |
| | AM5 | 2000-353090A | 12/19/2000 | Japan | | X Yes No |
| | AN5 | 2000-339159A | 12/08/2000 | Japan | | X Yes No |
| | AO5 | 2000-339160A | 12/08/2000 | Japan | | X Yes No |
| | AP5 | 2000-357091A | 12/26/2000 | Japan | | X Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | |
|----|-----------|---|
| AR | <u>28</u> | |
| AS | <u>28</u> | Notice of Grounds For Rejection, dated October 2, 2003, for Japanese Patent Application No. 2000-145123 (2 pages) with English translation (2 pages). |
| AT | <u>28</u> | Notice of Grounds For Rejection, dated October 2, 2003, for Japanese Patent Application No. 2000-145124 (2 pages) with English translation (2 pages). |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449

ATTY. DOCKET NO. SP015.C16
(1397.028000G)

APPLICATION NO.: 10/697,257

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|---------------------|--------------------|------|------|-------|-----------|-------------|
| | AA29 | | | | | |
| | AB29 | | | | | |
| | AC29 | | | | | |
| | AD29 | | | | | |
| | AE29 | | | | | |
| | AF29 | | | | | |
| | AG29 | | | | | |
| | AH29 | | | | | |
| | AI29 | | | | | |
| | AJ29 | | | | | |
| | AK29 | | | | | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|--------------------|------|---------|-------|-----------|-------------|
| | AL29 | | | | | Yes No |
| | AM29 | | | | | Yes No |
| | AN29 | | | | | Yes No |
| | AO29 | | | | | Yes No |
| | AP29 | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | |
|----|-----------|---|
| AR | <u>29</u> | Notice of Grounds for Rejection, dated October 3, 2003, for Japanese Patent Application No. 2000-145125 (3 pages) with English translation (4 pages). |
| AS | <u>29</u> | Notice of Grounds for Rejection, dated October 3, 2003, for Japanese Patent Application No. 2000-145126 (3 pages) with English translation (4 pages) |
| AT | <u>29</u> | |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.